

## **Historic, Archive Document**

Do not assume content reflects current scientific knowledge, policies, or practices.





2HV4764  
.US

# Animal Welfare Enforcement

Fiscal Year 1990

Report of the  
Secretary of  
Agriculture to  
the President  
of the Senate  
and the Speaker  
of the House of  
Representatives



United States  
Department of  
Agriculture

Animal and  
Plant Health  
Inspection  
Service

APHIS 41-35-006





## Contents

Report of 1990 Activities	2
Introduction	2
Animal Welfare Accomplishments for FY 1990	2
Summary	2
Inspections	2
Violations	2
Legislation	3
Regulations	3
Appropriation for FY 1990	3
Organization and Administration of the Act	4
REAC Field Activities	4
REAC Headquarters Activities	4
Training	4
Licensing and Registration	5
Research Facilities	5
Reports From Research Facilities	6
Animal Exhibitors	6
Carriers and Intermediate Handlers	7
Licensed Dealers	7
Inspections	8
Prelicensing Inspections	8
Compliance Inspections	8
Inspections of Animals in Transit	9
Complaints	10
Investigations	10
Liaison With Other Federal Agencies	11
Other Activities	11
Public Information	12
Public Correspondence	12
Freedom of Information Act Requests	12
Legislative Recommendations	12
Glossary of Terms	13

## Appendix

Table 1. Number of Licensees and Registrants	14
Table 2. Animals Used in Experimentation	15
Table 3. Animals Used in Experimentation With Pain - With Drugs	16
Table 4. Animals Used in Experimentation With Pain - No Drugs	17
Table 5. Animals Used in Experimentation No pain - No drugs	18

## Attachments

<i>Animal Welfare: List of Licensed Dealers</i>
<i>Animal Welfare: List of Registered Research Facilities</i>
<i>Animal Welfare: List of Licensed Exhibitors</i>
<i>Animal Welfare: List of Registered Exhibitors</i>
<i>Animal Welfare: List of Registered Carriers and     Intermediate Handlers</i>



## Report of 1990 Activities

Each year, the Secretary of Agriculture reports on administration and enforcement activities of the Animal Welfare Act (AWA) (7 U.S.C. 2131 et seq.) as required by Section 25 of the AWA. Section 25 also states that: "This report as well as any supporting documents, data, or findings shall not be released to any other persons, non-Federal agencies, or organizations unless and until it has been made public by an appropriate committee of the Senate or the House of Representatives."

The present report covers Fiscal Year (FY) 1990, which began October 1, 1989, and ended September 30, 1990.

### Introduction

The 1990 Animal Welfare Program received a 20-percent increase in its appropriation over that of FY 1989. With this additional funding, the Animal and Plant Health Inspection Service (APHIS) increased animal welfare compliance inspections by 18.0 percent, increased preclicensing inspection by 9.4 percent, and increased in-transit inspections by 9.6 percent. In addition to analyzing 12,000 comments on proposed regulations, APHIS continued its efforts to increase the quality of work by presenting 7 training courses and adding 12 additional inspectors to its field force. The following tabulation summarizes the increase in animal welfare accomplishments for FY 1990:

### Animal Welfare Accomplishments for FY 1990

Activity	Accomplishments	Inspection rate per site	Increase from FY 1989
Total Compliance			
Inspections	13,050	1.40	18.0%
Dealer			
Inspections	5,956	1.39	17.9%
Research			
Inspections	3,589	1.12	1.3%
Exhibitor			
Inspections	2,431	1.71	7.9%
In-transit			
Inspections	1,074		9.6%
Pre-license			
Inspections	2,029		9.4%

## Summary

### Inspections

APHIS officials conducted 13,050 inspections at 7,555 facilities (9,319 sites) licensed or registered under the AWA. These figures do not include preclicensing inspections or inspections of carriers. The average rate of inspections per site during FY 1990 was 1.40 (Table 1). This is an 18 percent increase from FY 1989. During FY 1991, we will increase both the frequency and, more importantly, the quality of inspections.

**Table 1**

Number of inspections made during FY 1989-90

FY	Total facilities (Sites)*	inspections	Average inspection rate (per site)
1990	7,555 (9,319)	13,050	1.40
1989	7,497 (9,052)	11,056	1.22
1988	7,434 (8,861)	15,296	1.73

\*Research facilities have an average of 2.2 animal sites per facility.

### Violations

When APHIS inspectors discover that a facility is not in compliance during an inspection, the necessary corrective measures are discussed with the owner/manager or official of the facility.

If violations are flagrant or recurrent, APHIS takes appropriate enforcement action. Table 2 shows the resolution of these enforcement actions for FY 1988 through FY 1990.

**Table 2**

Resolution of animal welfare cases.

FY	Cases submitted	Suspensions, revocations, cease and desist orders	Letters of warning, warning notices
1990	63	51	252
1989	79	55	298
1988	184	179	314



## Legislation

In 1966, Congress enacted Public Law 89-544, known as the Laboratory Animal Welfare Act. This law regulated dealers who handle dogs and cats, as well as laboratories that use dogs, cats, hamsters, guinea pigs, rabbits, and nonhuman primates in research.

The first amendment to the AWA was passed in 1970 (P.L. 91-579). This amendment authorized the Secretary to regulate other warmblooded animals when used in research, exhibition, or the wholesale pet trade.

An amendment in 1976 (P.L. 94-279) prohibited animal fighting ventures and regulated the commercial transportation of animals. In 1985, the Improved Standards for Laboratory Animals Act was enacted as part of the Food Security Act and further amended the AWA. Included in these amendments was a direction to the Secretary to issue additional standards for the use of animals in research.

## Regulations

The Improved Standards for Laboratory Animals Act was passed in December 1985 as part of the Food Security Act of 1985 (Public Law 99-198). That law amended the AWA and required the Secretary of Agriculture to promulgate standards for the exercise of dogs and for a physical environment adequate to promote the psychological well-being of nonhuman primates. Additional requirements of the 1985 amendments included the establishment of Institutional Animal Care and Use Committees at research facilities; standards to ensure that pain and distress are minimized and that anesthetics, analgesics, and tranquilizers are used appropriately; and standards that require a researcher to consider alternatives to painful procedures.

On August 31, 1989, final regulations for Parts 1 and 2 (9 CFR) were published in the Federal Register to implement the 1985 amendments to the AWA. Regulations for the exercise of dogs and the psychological well-being of nonhuman primates were not included at that time. The first proposed standards in Part 3 for the exercise of dogs and the psychological well-being of nonhuman primates were published in the Federal Register on March 15, 1989. A total of 10,686 comments were received on these proposed standards. Because of the exceptionally large number of comments received, a great deal of time was required to catalog, read, and analyze them. Subsection A, dealing with the exercise of dogs, and subsection D, dealing with the provision of an environment adequate to promote the psychological well-being of nonhuman primates, were repropounded on August 15, 1990. More than 11,000 comments were received on this reproposal.<sup>1</sup>

<sup>1</sup> Final Rules for Part 3, Subsections A and D were published in final form on February 15, 1991.

Revised standards for guinea pigs, hamsters, and rabbits were published in the Federal Register on July 15, 1990, and became effective on August 15, 1990. These standards increased the minimum space requirement and provided additional requirements for the transportation of these animals. A phase-in period will be allowed for facilities that are required to purchase new cages in order to comply with these changes.

USDA published notice in the April 5, 1990, Federal Register of its intent to regulate horses used for biomedical or other nonagricultural research, and other farm animals used for biomedical or other nonagricultural research, or for nonagricultural exhibition, effective June 4, 1990. Until specific regulations can be promulgated, the standards in 9 CFR, Subpart F for "other warmblooded animals" will be applied. Specific regulations for farm animals will be proposed some time in 1991.

## Appropriation for FY 1990

The FY 1990 Animal Welfare Program was appropriated \$7.46 million. Table 3 indicates the AWA appropriations for FY 1990 and the preceding 2 fiscal years, plus the adjusted appropriation.

**Table 3**  
Appropriation for Animal Welfare in FY 1988-90

FY	Appropriation	Appropriation available to APHIS
1990	\$7.46 M	\$7.46 M
1989	\$6.19 M	\$6.19 M
1988	\$6.19 M	\$5.44 M



## Organization and Administration of the Act

USDA is charged with developing and implementing regulations to support the AWA. These regulations, which appear in Title 9, Code of Federal Regulations, Parts 1, 2, and 3, provide minimum standards for care and handling of animals. Included are requirements for handling, housing, feeding, sanitation, ventilation, shelter from extreme weather, veterinary care, and separation of species if necessary. Birds, rats, and mice are currently excluded from these regulations.

Within USDA, APHIS is responsible for administering the AWA. The Regulatory Enforcement and Animal Care (REAC) unit of APHIS has direct responsibility for administration of this program. REAC was established within APHIS in 1988 to administer and enforce the AWA and the Horse Protection Act.

The Animal Care component of REAC, a subunit whose mission is solely animal care, allows APHIS to give animal care better attention and visibility. The people who work in Animal Care have chosen to devote 100 percent of their work time to this important function. These employees are highly qualified and have an excellent professional support system and communication network. All of these individuals are highly trained, with some having specialized interest and expertise in such areas as the care of laboratory animals, zoo animals, and marine mammals.

The Regulatory Enforcement component of REAC brings together the professional investigators of the agency into a single unit. Regulatory Enforcement is an integral part of an overall approach to achieving compliance with APHIS regulations through sound enforcement and strong educational efforts.

### REAC Field Activities

The Animal Care program is locally administered through sector offices in Annapolis, Maryland; Minneapolis, Minnesota; Sacramento, California; Fort Worth, Texas; and Tampa, Florida. Each sector office is staffed by a supervisory veterinary medical officer heading the Animal Care unit and a sector supervisor heading the Regulatory Enforcement unit. Licensing, registration, inspections, and investigation of complaints and alleged violations are accomplished by REAC administrative, technical, and clerical employees who are directed by the sector supervisors and based in the sector offices. The field force consists of animal care specialists, veterinary medical officers, animal care inspectors, and investigators who perform the compliance inspections and investigations.

## REAC Headquarters Activities

The assistant deputy administrator for Animal Care supervises the inspection field force and the director of the Animal Care staff. The Animal Care staff provides technical support and assists in developing and providing program direction, goals, priorities, policies, procedures, and regulations in order to carry out the program in an effective and efficient manner. The staff serves as the source of the agency's expertise in the areas of laboratory animals and research facilities, horse protection, exotic and exhibit animals, and animal dealers.

The Animal Care staff, in cooperation with APHIS' Recruitment and Development group, provides program training for Animal Care personnel. This staff is also responsible for cooperating with other Federal agencies in enforcing the AWA and for maintaining liaison and working relations with regulated professional groups, industry organizations, humane groups, and other concerned groups and individuals.

The Regulatory Enforcement staff has the enforcement function for all APHIS programs. This includes but is not limited to investigation of violations of the AWA regulations and standards, the documentation of evidence, and the development of alleged violation cases for prosecution. Regulatory Enforcement personnel work closely with USDA's Office of the General Counsel in the prosecution of violators.

### Training

During FY 1990, the Recruitment and Development staff, along with REAC's Animal Care staff, developed and presented 7 formal training courses for about 75 field personnel. These courses were held at various locations across the country.

All inspectors completed training courses on animal transportation and zoo animal husbandry in FY 1990. Because of the need for qualified individuals to conduct inspections of marine mammal facilities, a select group of Animal Care veterinarians received indepth training in marine mammal husbandry, biology, and medicine. The instructors included experts from various Federal and State agencies, as well as from the private sector.

An additional orientation training course in animal welfare was given to a class of 30 veterinarians participating in the 1990 Public Veterinary Practice Career (PVPC) program. Many of these trainees have expressed an interest in joining REAC.

Courses were given on the following subjects during FY 1990: animal transportation (3), zoo animals (3), animal care to PVPC program participants, and marine mammals.



In addition to formal courses, numerous work sessions were held at the sector level to refine inspection procedures and clarify regulations. Many Animal Care personnel also attended and participated in local, regional, and national meetings addressing issues of animal care.

Steps were taken during FY 1990 toward developing advanced, indepth training in specialized fields of study. APHIS proposes to implement externship training programs in laboratory animal medicine and zoo animal medicine in the future.

## Licensing and Registration

The AWA regulations require the licensing of animal dealers, exhibitors, and the operators of animal auction sales where animals regulated under the AWA are sold. Licenses are valid unless the licensee terminates the license voluntarily, fails to renew the license, or the license is suspended or revoked by an Administrative Law Judge in an enforcement proceeding. The Department terminates licenses that are not renewed within the time requirements set forth in the regulations. Following the investigation of an alleged violation, a license may be revoked or suspended by an Administrative Law Judge after a notice and opportunity for a hearing. The fees for dealers and exhibitors are determined by a graduated schedule listed in the regulations (9 CFR). Due to a change in the regulations, there was a fee increase in FY 1990. Dealers pay between \$30 and \$750, and exhibitors pay \$30 to \$300. These fees are deposited as "miscellaneous receipts" with the U.S. Treasury and do not directly support the APHIS budget.

## Research Facilities

Research facilities include hospitals, colleges and universities, diagnostic laboratories, and many private firms in the pharmaceutical and biotechnology industry. The list includes both Federal and non-Federal research facilities.

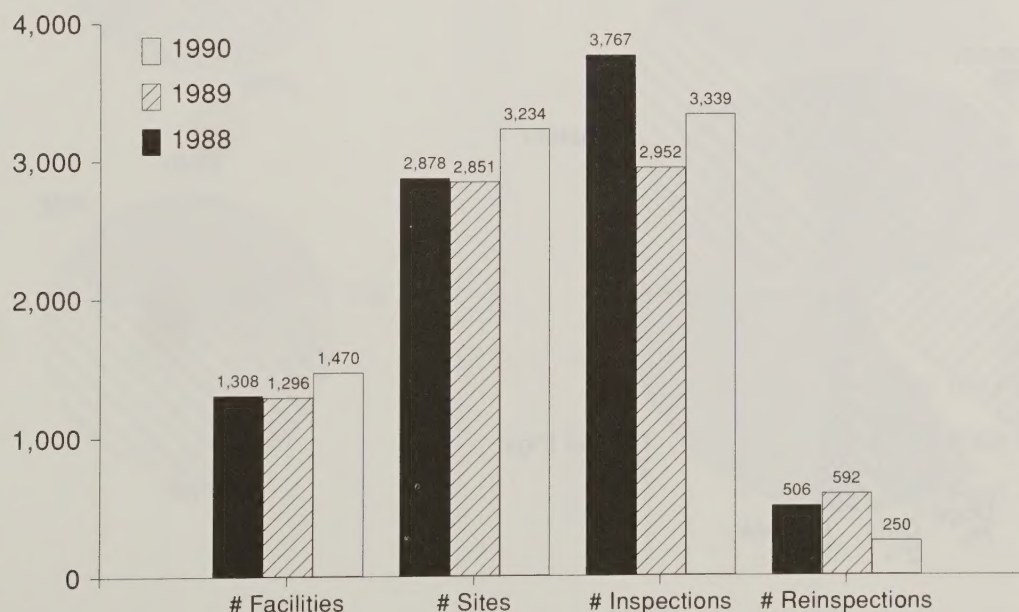
All research facilities are required to comply with the AWA regulations. Federal facilities are not registered or inspected under the AWA; however, the heads of Federal agencies are responsible for maintaining compliance with the AWA regulations and standards. Non-Federal research facilities receive unannounced inspections on a regular basis to determine compliance with regulations and standards. Listed below are the number of registered research facilities for FY 1988-90. Chart 1 shows the number of inspections of these facilities for FY 1988-90.

### Registered Research Facilities, FY 1988-90

FY	Facilities	Sites
1990	1,470	3,234
1989	1,296	2,851
1988	1,308	2,878

Chart 1

## Registered Research Facilities





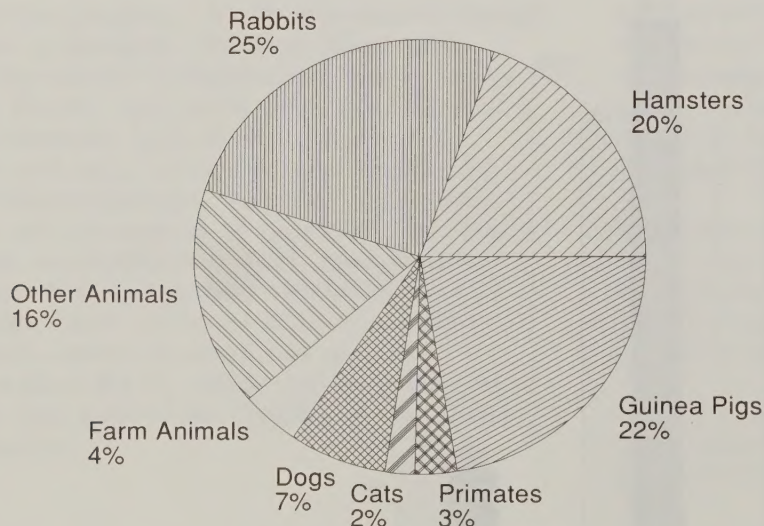
## Reports From Research Facilities

Each research facility registered under the AWA and each Federal research facility is required to submit an annual report, signed and certified by the Institutional Official, covering the previous fiscal year. The report lists the numbers and species of animals used in research, testing, and experimentation and indicates whether pain-relieving drugs were administered. If pain relief was not administered, the report must explain why the use of pain-relieving drugs would have interfered with the research or experiment. The report must also assure that professionally acceptable standards, including the appropriate use of pain relieving drugs, were followed; that each principal investigator considered alternatives to painful procedures; and that the facility is adhering to the standards and regulations under the Act and that any exception to such adherence was justified by the principal investigator and approved by the Institutional Animal Care and Use Committee.

In FY 1990, 1,578,099 warmblooded animals were used in research, testing, or experimentation. This number excludes birds, rats and mice, and farm animals used in agricultural research. Chart 2 shows the number and species of animals used in research for FY 1990. Chart 3 shows the number and percentage of research animals that did not experience pain or distress, those that received drugs for the relief of pain, and those that did not receive drugs for pain relief because of interference with research or test results.

Chart 2

## Animal Used in Research, Experiments, Testing, and Teaching in 1990



Results from Form 18-23

## Animal Exhibitors

Licensed exhibitors operate animal acts, carnivals, circuses, public zoos, roadside zoos, and marine mammal exhibits. Most of the animals exhibited are wild or exotic species such as lions and other large cats, hoof stock, and bears. During FY 1990, 1,370 exhibitors held USDA licenses, and 45 held registrations. Licensed exhibitors are those who either obtain or dispose of their animals in commerce or exhibit them for compensation. Registered exhibitors do not buy, sell, or transport animals, and do not accept compensation. Listed below are the number of exhibitors regulated during FY 1988-90. Chart 4 shows the number of inspections for that same period.

### Regulated Exhibitors FY 1988-90

FY	Registered and licensed exhibitors
1990	1,415
1989	1,504
1988	1,475



## Carriers and Intermediate Handlers

Carriers registered with the USDA include airlines, motor freight lines, railroads, and other shipping lines. Registered intermediate handlers include ground freight handlers.

Intermediate handlers usually provide services for animals between consignor and carrier and from carrier to consignee. They also care for animals delayed in transit.

The number of registered carriers and intermediate handlers for the past 3 years is listed below. The number of carrier and intermediate handler inspections is shown on chart 5.

*Registered Carriers and Intermediate Handlers, FY 1988-90*

FY	Registered carriers	Intermediate handlers
1990	136	266
1989	145	282
1988	143	275

## Licensed Dealers

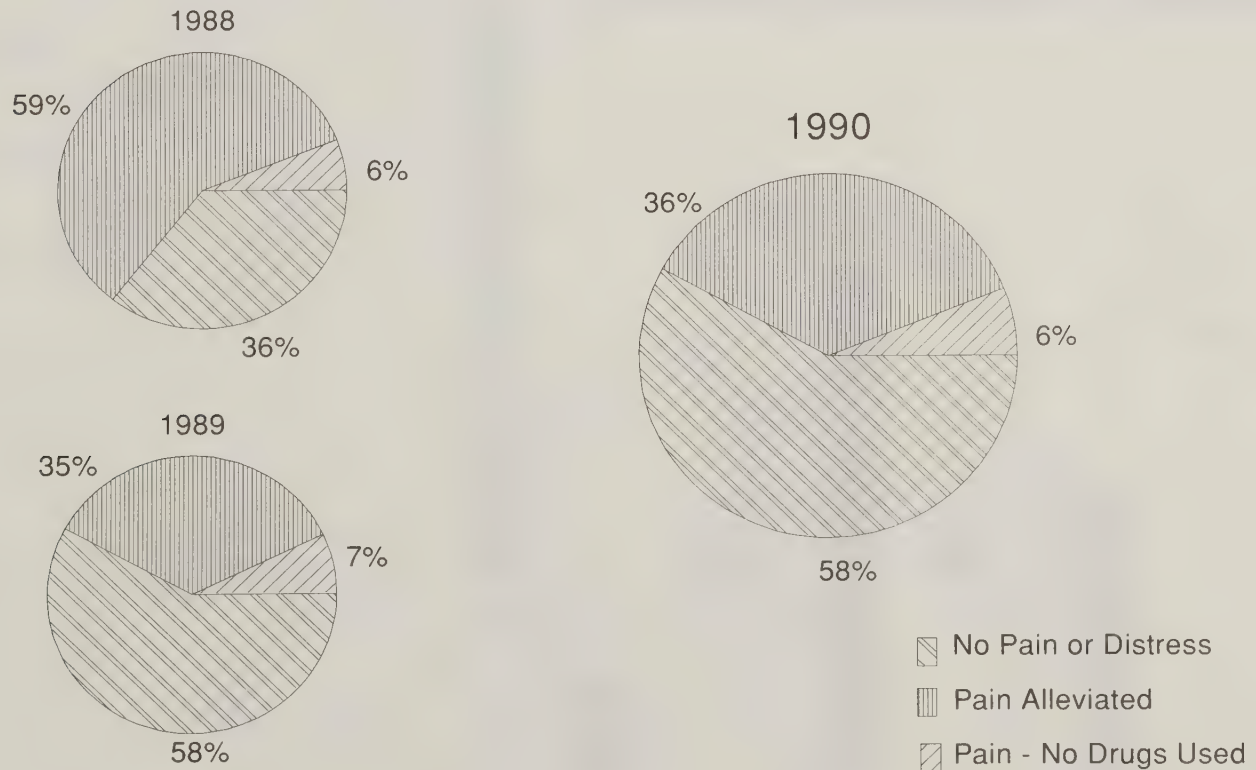
Persons selling animals for research or teaching, wild animals for exhibition, or pet animals at the wholesale level must be licensed by USDA. There are two classes of licensees. The A class licensees are breeders and deal only in animals which they breed and raise. The B class licensees include brokers, bunchers, and operators of auction sales. The number of licensed dealers for FY 1988 through FY 1990 are listed below. The number of dealer inspections for the same period is shown on chart 6.

*Licensed Dealers FY 1988-90*

FY	Dealers (total)	Class A Dealers	Class B Dealers
1990	4,268	3,323	945
1989	4,415	3,259	1,156
1988	4,233	n/a	n/a

**Chart 3**

## Animals Used in Experiments Involving Pain



## Inspections

Because license applicants are required by law to be in full compliance with regulations and standards before a license is issued, APHIS performs precensuring inspections to determine whether an applicant is in compliance. After a license has been issued, APHIS performs unannounced inspections periodically to ensure continued compliance. APHIS conducted 2,029 precensuring inspections and 13,050 compliance inspections and reinspections in FY 1990.

### Precensuring Inspections

The number of precensuring inspections performed by APHIS for FY 1988 through FY 1990 is listed below.

#### *Precensuring Inspections of Dealers and Exhibitors FY 1988-1990*

FY	Precensuring inspections
1990	2,029
1989	1,854
1988	1,913

## Compliance Inspections

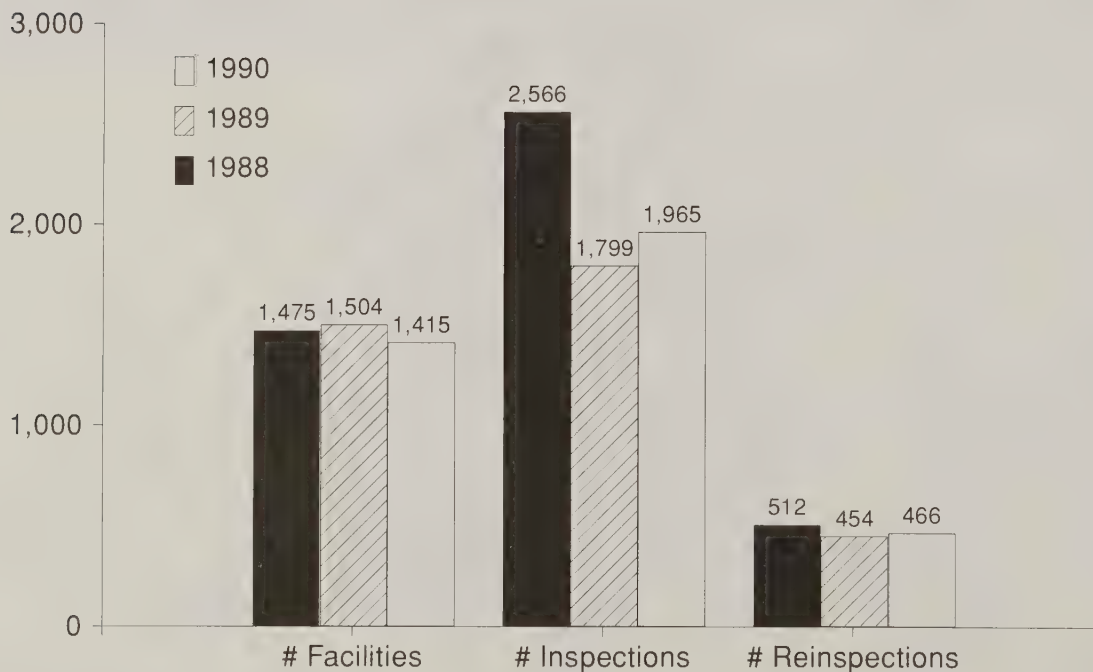
APHIS routinely makes unannounced inspections of all licensees and registrants to ascertain compliance with the regulations. If conditions are discovered that are not in compliance with the regulations when these inspections are made, APHIS establishes a deadline for correction of these items. Inspectors are required to make a reinspection following the deadline date for correction. If the conditions remain uncorrected, APHIS documents them for possible legal action. Listed below are the number of compliance inspections for dealers, exhibitors, research facilities, and intermediate handlers for FY 1988-90. Chart 7 shows the number of compliance inspections for each type of facility.

#### *Compliance Inspections for FY 1988-90*

FY	Compliance inspections
1990	13,050
1989	11,056
1988	13,383

Chart 4

## Licensed and Registered Exhibitors



Results from WBBS Reports



## Inspections of Animals in Transit

APHIS conducts unannounced inspections of registered carriers and intermediate handlers for animals in transit. Registrants are required to refuse shipments of animals if the shipment does not meet regulatory standards. APHIS inspectors perform inspections to ensure humane care and handling of animals in transit.

APHIS inspections of intermediate handlers focus on ensuring that animals are provided care when there is a delay in transit. Airports and intermediate handlers receive unannounced inspections based on the volume of animals handled. Although more inspections of air carriers were done in FY 1990 than in FY 1989, the inspections of air carriers for FY 1990 were not as frequent as the agency desired, for several reasons. Seven training courses were given to field inspectors in FY 1990, and field inspectors were detailed into headquarters for 3 weeks to review and analyze comments

on proposed standards for Part 3, 9 CFR. This resulted in at least 10 weeks lost for inspection purposes. Additionally, the 1985 amendment to the AWA mandates that at least once a year, APHIS inspect all research facilities, and reinspect all deficient sites until the deficiencies are corrected. This requirement reduces our flexibility in performing inspections. We expect the frequency of air terminal inspections to increase further in FY 1991. The number of inspections of intransit shipments is listed below for FY 1988 through FY 1990.

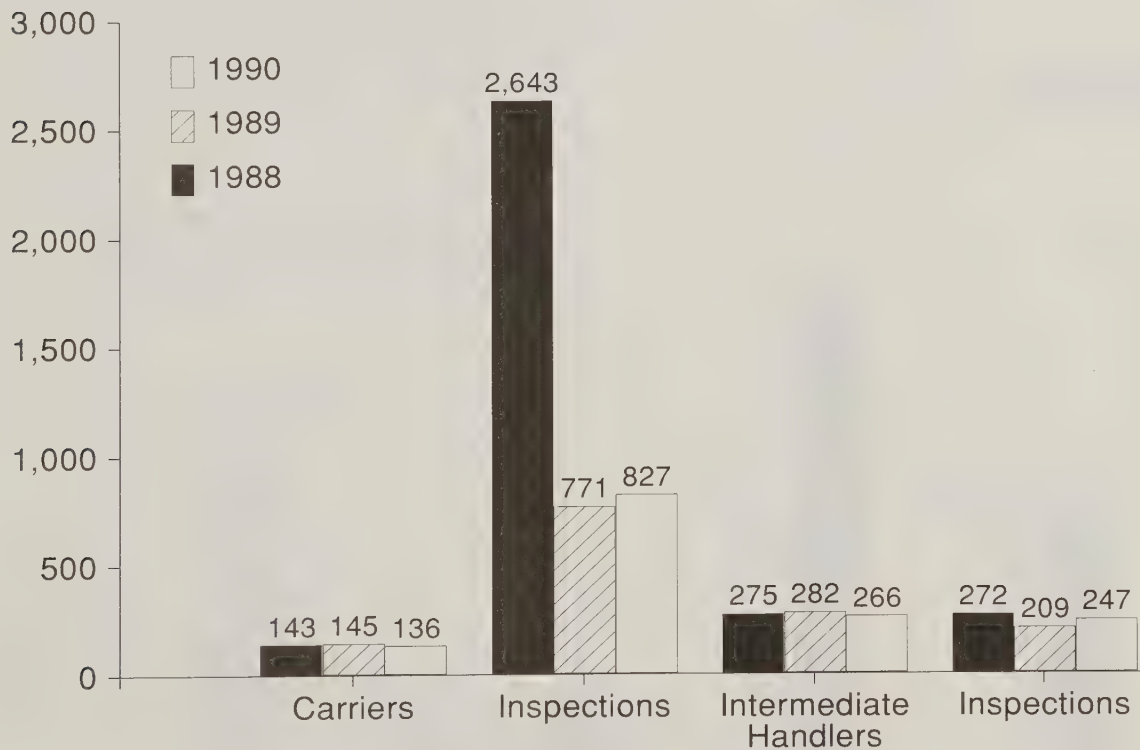
### *In-transit Inspections, FY 1988-90.*

FY	Intransit inspections
1990	1,074
1989	980
1988	2,643

Chart 5

*Animal Welfare Act*

## Carriers and Intermediate Handlers



Results from WBBS Reports

## Complaints

APHIS gives high priority to complaints about licensed or registered facilities in order to ensure that regulated animals are receiving proper care. The agency also searches continually for dealers, exhibitors, or research facilities which are unlicensed or unregistered.

The number of searches made and the complaints investigated during FY 1988 through FY 1990 are indicated below.

### *Complaints Investigated and Searches Made, FY 1988-90*

FY	Complaints	Searches
1990	657	1,315
1989	962	1,138
1988	951	1,320

## Investigations

APHIS personnel conduct reviews and investigate alleged violations. When investigation reveals apparent violations, a case report and documentation are submitted to the Regulatory Enforcement staff. If, after careful review, a case appears to warrant prosecution, it is submitted to the Office of the General Counsel, which reviews the case and pursues prosecution through administrative procedures.

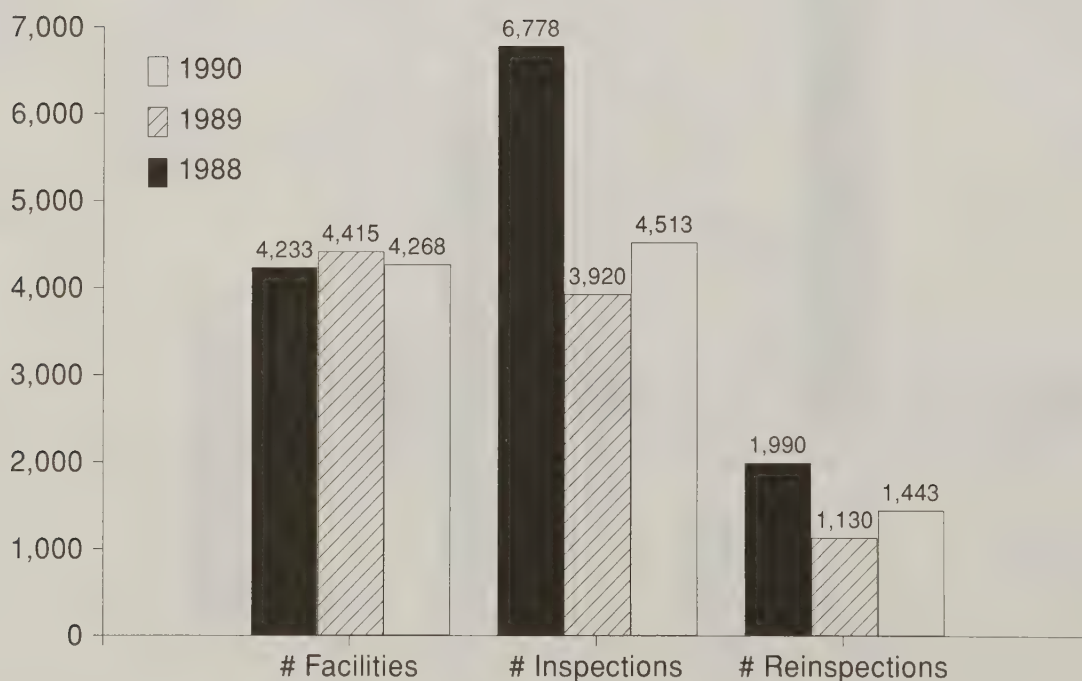
License suspensions or revocations, cease and desist orders, civil penalties, or a combination of these may be used to settle a case through administrative procedures. Official Notices of Warning are also used to close some less serious cases. Investigation activities for FY 1988 through FY 1990 are listed below.

### *Animal Welfare Investigation Activities FY 1988-1990*

FY	Investigation of alleged violations	Violations submitted to RE staff	Cases that reached decision and/or orders
1990	677	101	32
1989	568	122	15
1988	639	411	33

Chart 6

## Licensed Dealers



Results from WBBS Reports



## Liaison With Other Federal Agencies

APHIS represents USDA on the Interagency Research Animal Committee, which is composed of Federal agencies involved in the care and use of animals in biomedical research. This committee is responsible for interagency coordination of animal care and use concerns and for making contributions to policy development. It also serves as a forum for information exchange and regulation development.

The Animal Welfare Information Center of the National Agricultural Library was established by the 1985 amendment to the AWA. The mission of the center is to provide (1) information on animal care and use that could prevent unintended duplication of animal experimentation; (2) information on improving animal experimentation, including alternatives to animal use; and (3) information pertinent to training of employees. In FY 1990, the center produced 36 publications and distributed 29,000 copies of them; responded to 2,700 requests for reference or referral services; and provided 391 database searches. The center has worked closely with and provided these services to APHIS animal care personnel as well as the public.

APHIS also maintains close working relationships with the following Federal agencies in regard to regulation and enforcement of the AWA: National Institutes of Health and the Food and Drug Administration, Department of Health and Human Services; Department of Defense; Department of Veterans Affairs; Marine Mammal Commission; National Marine Fisheries Service, Department of Commerce; and U.S. Fish and Wildlife Service, Department of the Interior.

## Other Activities

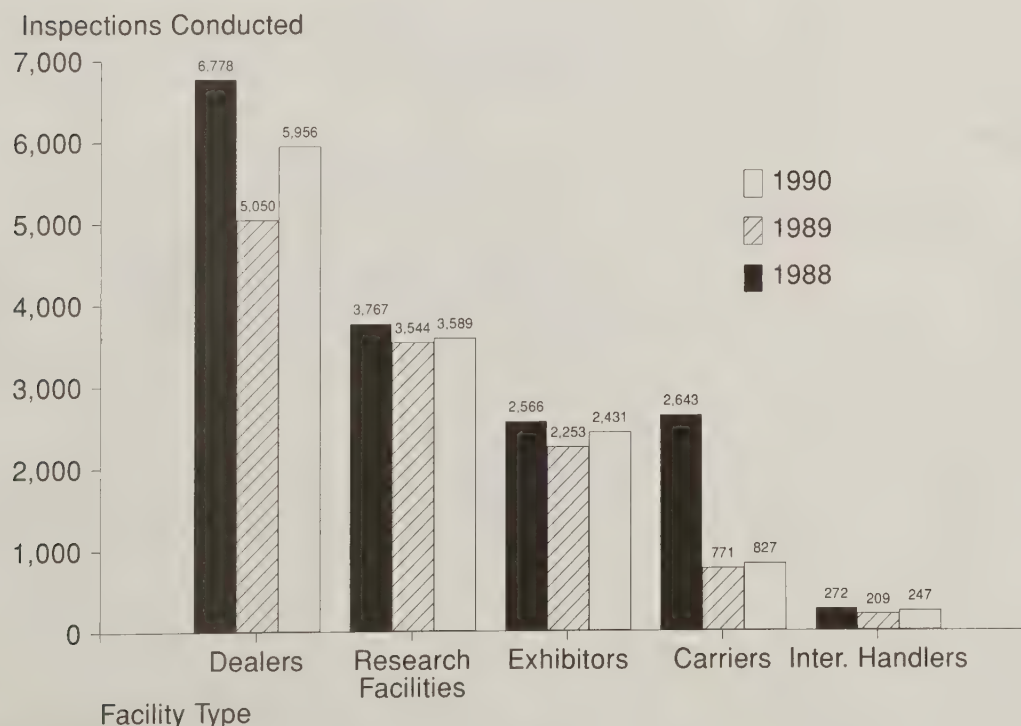
APHIS Animal Care personnel actively participate in organizations concerned about the humane care of animals. APHIS is represented on committees of the American Veterinary Medical Association, the American Society of Laboratory Animal Practitioners, and the American Association of Zoo Veterinarians. The agency also participates in the annual meetings of these organizations and that of the American Association of Laboratory Animal Science. APHIS maintains an active role in the American Association of Zoological Parks and Aquariums, the International Association of Aquatic Animal Medicine, and the Air Transport Association of America by having representatives attend their annual conferences and maintaining close liaison with these groups. All of these organizations have a concern for the well-being and improved husbandry and care of animals.

APHIS Animal Care is also represented in the United States Animal Health Association and has members on both its animal welfare committee and zoological committee. These committees have a broad membership that represents the public's concern in animal welfare.

### Chart 7

*All Licensed and Registered Facilities*

## Compliance Inspections



## Public Information

APHIS issued 38 press releases on animal welfare during FY 1990. These included reports of animal welfare compliance and new regulations.

## Public Correspondence

During FY 1990, APHIS received and responded to inquiries about animal welfare from individual citizens and concerned groups. Also, APHIS received correspondence referred through the Office of the President and members of Congress. Other Federal agencies refer animal welfare concerns to APHIS for appropriate responses. Listed below are the number of animal welfare inquiries received by APHIS Executive Correspondence during FY 1988-90.

### *Animal Welfare Correspondence Received by APHIS FY 1988-90*

FY	Correspondence received
1990	44,325
1989	52,078
1988	22,112

## Freedom of Information Act Requests

Numerous requests for material and records available through the Freedom of Information Act are received by APHIS. In FY 1990, APHIS received requests that resulted in the release of 38,222 sheets of paper. Listed below are the number of such requests received for the past 3 fiscal years.

### *Freedom of Information Requests Received by APHIS FY 1988-90*

FY	FOIA requests
1990	665
1989	630
1988	498

## Legislative Recommendations

USDA has no recommendations for amending the AWA at this time.



## Glossary of Terms

*Airport Inspection* - Individual airline inspections of cargo and baggage areas made at airports for compliance with the AWA regulations and standards.

*Alleged Violation* - A violation of the Act, regulations, or standards that has been documented as existing but has not been legally concluded.

*Complaints* - (1) A civil or administrative complaint: Informs the alleged violator of the AWA allegations charged against him/her. (2) A public complaint is information received from citizens, humane groups, or others concerning possible violations of the Act, regulations, or standards at animal facilities.

*Compliance* - Compliance is meeting all the regulatory requirements set forth in the AWA regulations and standards.

*Compliance Inspection* - An inspection completed, after licensing or registration, to determine the facility's compliance with the AWA regulations and standards.

*Enforcement* - Enforcing the AWA regulations and standards by developing alleged violation cases and taking action in the form of Letters of Warning, warning tickets, administrative complaints, hearings, trials, and other legal procedures and methods to attain compliance.

*Investigation* - Inquiries and examinations of certain allegation(s) that a person or facility is not complying with the AWA, regulations, or standards.

*Prelicensing Inspection* - Inspection made, after application for license has been submitted, to ascertain compliance with the AWA regulations and standards prior to licensing the facility.

*Reinspections* - Inspections made following a compliance inspection in which one or more violations were documented.

*Searches* - Activity associated with finding unlicensed/unregistered persons or animal facilities.

*Site* - The physical location where animals are used, housed, or maintained by a licensed or registered facility. A licensed/registered facility may have one or more animal sites. A site may be a room, a building, an outdoor run area, or similar type facility used to hold or work on animals.

*Violation* - An area or item, at a registered or licensed facility, alleged by the APHIS inspector as not being in compliance with the regulations or standards of the AWA.

## Appendix

**Table 1. Number of Licensees and Registrants (FY1990)**

	Registered intermediate handlers	Registered carriers	Registered dealers	Animal exhibitors Licensed	Registered	Registered research facilities
<b>Total United States</b>	<b>266</b>	<b>136</b>	<b>4,268</b>	<b>1,370</b>	<b>45</b>	<b>1,470</b>
Alabama	2	0	12	12	0	15
Alaska	1	1	0	6	0	4
Arizona	7	1	11	18	0	11
Arkansas	3	1	147	15	0	9
California	24	11	63	169	1	182
Colorado	9	3	38	17	2	25
Connecticut	4	3	8	18	0	23
Delaware	0	0	0	1	0	7
District of Columbia	0	1	0	0	0	8
Florida	24	8	80	184	2	52
Georgia	14	2	33	20	4	25
Hawaii	26	2	5	14	0	3
Idaho	0	1	2	8	0	5
Illinois	8	5	116	63	4	64
Indiana	1	1	67	30	0	21
Iowa	0	0	468	12	4	18
Kansas	0	1	599	19	2	26
Kentucky	4	0	17	5	2	7
Louisiana	1	0	20	12	0	12
Maine	0	2	7	5	1	15
Maryland	3	1	10	12	0	39
Massachusetts	3	3	22	32	1	81
Michigan	1	0	36	38	2	57
Minnesota	1	4	82	24	1	26
Mississippi	0	1	12	11	0	4
Missouri	14	3	1,076	26	0	42
Montana	0	0	7	8	0	3
Nebraska	1	1	209	13	0	14
Nevada	2	0	2	38	0	1
New Hampshire	1	0	4	9	0	4
New Jersey	5	0	19	22	1	70
New Mexico	2	2	4	8	1	11
New York	10	12	63	68	0	119
North Carolina	5	4	28	24	6	27
North Dakota	0	1	16	7	0	3
Ohio	3	1	54	40	5	71
Oklahoma	0	1	349	16	1	17
Oregon	6	2	61	19	0	19
Pennsylvania	8	4	120	60	0	100
Puerto Rico	1	6	8	8	1	11
Rhode Island	0	0	0	6	0	11
South Carolina	8	1	15	16	0	7
South Dakota	0	0	73	6	0	4
Tennessee	0	2	26	16	0	17
Texas	31	19	193	93	2	86
Utah	5	4	3	6	0	11
Vermont	0	0	9	2	0	3
Virgin Islands	0	8	0	0	0	0
Virginia	12	3	24	22	0	19
Washington	8	6	12	19	0	30
West Virginia	0	0	1	8	0	5
Wisconsin	8	4	37	64	1	23
Wyoming	0	0	0	1	1	3



## Appendix

**Table 2. Animals Used in Experimentation (FY 1990)**

		Number of registrants	Number of all animals	Dogs	Cats	Primates	Guinea pigs	Hamsters	Rabbits	Farm animals	Other
<b>Total</b>	<b>United States</b>	<b>1,158</b>	<b>1,578,099</b>	<b>109,992</b>	<b>33,700</b>	<b>47,177</b>	<b>352,627</b>	<b>311,068</b>	<b>399,264</b>	<b>66,702</b>	<b>257,569</b>
<b>Total Research</b>		<b>1,016</b>	<b>1,458,173</b>	<b>103,696</b>	<b>30,971</b>	<b>41,880</b>	<b>328,793</b>	<b>294,117</b>	<b>368,966</b>	<b>54,131</b>	<b>235,619</b>
<b>Total Federal Agencies</b>		<b>142</b>	<b>119,926</b>	<b>6,296</b>	<b>2,729</b>	<b>5,297</b>	<b>23,834</b>	<b>16,951</b>	<b>30,298</b>	<b>12,571</b>	<b>21,950</b>
Alabama		11	9,706	1,970	366	456	1,470	901	3,574	269	700
Alaska		3	765	17	0	0	13	0	17	0	718
Arizona		9	3,017	641	91	127	0	1,570	479	12	97
Arkansas		7	1,901	364	65	10	398	97	282	35	650
California		127	115,900	2,245	1,587	1,036	23,625	17,837	53,559	8,247	7,764
Colorado		18	20,034	1,658	691	33	1,561	11,982	3,009	156	944
Connecticut		16	28,804	1,794	252	211	4,077	8,874	4,555	22	9,019
Delaware		4	55,529	844	28	93	18,459	28,133	3,849	44	4,079
District of Columbia		6	4,264	810	804	6	96	876	964	164	544
Florida		21	21,845	3,271	988	457	2,802	3,053	9,674	451	1,149
Georgia		15	29,302	2,203	527	1,526	1,880	9,551	7,948	959	4,708
Hawaii		2	1,883	0	4	0	110	1,250	397	0	122
Idaho		1	287	0	0	0	58	0	46	0	183
Illinois		42	51,159	6,045	1,332	771	13,924	11,223	13,594	2,478	1,792
Indiana		13	22,979	3,741	230	380	12,263	1,611	4,310	79	365
Iowa		14	45,051	3,021	1,201	146	4,743	27,612	7,632	0	696
Kansas		20	39,782	1,651	563	8	10,005	21,096	4,222	127	2,110
Kentucky		4	5,467	498	388	2	88	425	1,365	147	2,554
Louisiana		11	16,308	725	994	9,903	1,012	212	3,012	109	341
Maine		14	1,497	2	0	0	40	0	652	564	239
Maryland		20	41,307	2,862	953	985	13,316	3,263	10,845	3,038	6,045
Massachusetts		67	65,549	2,120	538	2,649	8,315	13,129	33,564	765	4,469
Michigan		35	32,260	5,316	1,728	961	7,868	2,641	10,904	378	2,464
Minnesota		17	29,695	4,958	565	39	9,267	6,947	5,712	972	1,235
Mississippi		4	3,223	946	118	6	128	262	652	480	631
Missouri		32	37,699	4,003	1,678	153	2,944	12,099	7,521	673	8,628
Montana		3	2,237	0	28	15	449	67	315	0	1,363
Nebraska		5	26,250	1,047	452	0	2,875	19,563	1,496	0	817
Nevada		1	1,086	186	486	0	130	197	0	0	87
New Hampshire		3	1,182	42	249	0	81	84	278	367	81
New Jersey		50	133,557	8,904	280	2,503	54,065	18,460	42,820	1,426	5,099
New Mexico		6	2,742	715	0	1,453	0	207	44	0	323
New York		76	116,618	6,739	2,789	1,277	44,623	29,015	20,019	3,910	8,246
North Carolina		18	43,275	6,441	2,060	2,354	5,803	8,968	9,930	3,657	4,062
North Dakota		2	3,076	50	20	0	65	1,116	220	3	1,602
Ohio		54	60,796	4,967	1,774	934	21,661	4,121	22,945	1,754	2,640
Oklahoma		11	4,983	1,077	351	274	484	361	1,354	128	954
Oregon		13	6,637	219	265	924	1,894	576	1,462	930	367
Pennsylvania		81	78,433	6,069	2,554	919	29,883	4,808	25,105	3,206	5,889
Puerto Rico		6	1,957	193	16	1,073	57	0	532	4	82
Rhode Island		9	1,916	57	272	69	36	234	557	509	182
South Carolina		5	9,895	574	476	14	290	844	1,248	358	6,091
South Dakota		3	370	50	17	12	13	231	47	0	0
Tennessee		11	8,435	1,499	155	542	1,008	1,775	3,276	2	178
Texas		62	57,659	6,460	930	4,823	6,069	6,577	23,602	3,050	6,148
Utah		6	10,743	481	247	0	2,767	981	4,068	71	2,128
Vermont		3	1,632	95	8	12	319	156	1,042	0	0
Virgin Islands		0	0	0	0	0	0	0	0	0	0
Virginia		14	11,831	1,877	497	766	1,566	1,563	2,593	362	2,607
Washington		21	145,286	1,296	315	1,513	7,844	5,791	3,584	9,581	115,362
West Virginia		3	1,331	69	64	0	446	231	259	8	254
Wisconsin		14	39,513	2,829	949	2,445	7,184	3,270	9,789	4,636	8,411
Wyoming		3	1,520	55	26	0	719	277	43	0	400

# Appendix

**Table 3. Animals Used in Experimentation With Pain - With Drugs (FY 1990)**

	Number of registrants	Number of all animals	Dogs	Cats	Primates	Guinea pigs	Hamsters	Rabbits	Farm animals	Other
<b>Total United States</b>	<b>806</b>	<b>568,145</b>	<b>71,200</b>	<b>21,660</b>	<b>14,241</b>	<b>117,293</b>	<b>92,539</b>	<b>151,538</b>	<b>40,150</b>	<b>59,524</b>
<b>Total Research</b>	<b>689</b>	<b>518,769</b>	<b>66,046</b>	<b>19,367</b>	<b>12,507</b>	<b>109,735</b>	<b>87,479</b>	<b>134,248</b>	<b>37,421</b>	<b>51,966</b>
<b>Total Federal Agencies</b>	<b>117</b>	<b>49,376</b>	<b>5,154</b>	<b>2,293</b>	<b>1,734</b>	<b>7,558</b>	<b>5,060</b>	<b>17,290</b>	<b>2,729</b>	<b>7,558</b>
Alabama	9	4,947	1,439	313	70	142	217	2,590	21	155
Alaska	3	37	17	0	0	3	0	3	0	14
Arizona	7	1,862	641	91	53	0	608	441	12	16
Arkansas	3	1,305	141	14	0	323	94	245	22	466
California	83	45,877	1,650	563	423	4,140	11,685	18,161	5,550	3,705
Colorado	10	3,297	1,236	455	2	392	442	512	156	102
Connecticut	10	14,273	1,505	117	169	2,325	1,322	1,617	22	7,196
Delaware	4	19,311	412	22	2	2,080	12,710	1,633	0	2,452
District of Columbia	5	2,774	809	804	6	59	24	660	101	311
Florida	13	7,742	1,154	562	103	612	2,049	2,622	430	210
Georgia	11	18,382	1,527	266	911	765	3,300	7,582	957	3,074
Hawaii	2	171	0	4	0	0	110	19	0	38
Idaho	1	250	0	0	0	58	0	9	0	183
Illinois	28	14,695	3,747	872	387	2,562	2,091	3,581	905	550
Indiana	9	8,087	2,605	179	224	3,684	204	1,046	55	90
Iowa	8	10,079	2,446	485	137	788	2,584	3,495	0	144
Kansas	7	1,907	645	127	8	71	495	301	67	193
Kentucky	4	4,113	355	340	2	24	317	506	19	2,550
Louisiana	6	4,689	258	152	689	802	0	2,625	86	77
Maine	4	162	0	0	0	0	0	6	91	65
Maryland	13	28,334	2,822	783	849	11,898	1,481	5,351	1,072	4,078
Massachusetts	47	18,065	1,593	527	2,049	2,756	2,947	6,983	216	994
Michigan	22	13,056	3,376	1,521	237	1,318	1,718	3,741	177	968
Minnesota	9	13,597	3,943	414	26	4,428	810	2,458	942	576
Mississippi	3	2,873	931	78	6	109	120	632	390	607
Missouri	22	9,238	1,751	326	103	879	2,199	2,727	671	582
Montana	3	1,161	0	28	0	97	0	0	0	1,036
Nebraska	4	1,600	173	51	0	325	438	134	0	479
Nevada	1	186	186	0	0	0	0	0	0	0
New Hampshire	3	509	42	174	0	40	37	42	113	61
New Jersey	36	53,418	3,821	271	1,031	24,357	8,379	13,293	1,228	1,038
New Mexico	4	1,286	378	0	747	0	10	25	0	126
New York	59	51,719	3,963	1,979	669	16,444	14,930	8,797	2,102	2,835
North Carolina	15	18,206	4,497	1,046	424	1,218	1,665	5,486	2,265	1,605
North Dakota	2	55	32	20	0	0	0	0	3	0
Ohio	40	19,080	2,563	1,469	59	3,053	1,850	7,627	1,489	970
Oklahoma	8	3,422	968	331	150	148	69	994	128	634
Oregon	9	4,767	179	201	309	1,564	559	1,286	645	24
Pennsylvania	47	33,971	3,687	2,030	258	17,273	1,264	4,749	2,366	2,344
Puerto Rico	3	538	193	16	288	0	0	37	4	0
Rhode Island	7	1,713	57	261	26	36	204	468	509	152
South Carolina	4	2,185	253	269	0	0	604	896	99	64
South Dakota	2	177	21	5	6	0	111	34	0	0
Tennessee	10	3,840	1,041	105	262	476	992	919	0	45
Texas	40	27,155	5,079	582	745	1,594	3,970	11,508	2,520	1,157
Utah	4	3,257	452	240	0	437	0	1,319	28	781
Vermont	2	1,543	95	8	12	317	79	1,032	0	0
Virgin Islands	0	0	0	0	0	0	0	0	0	0
Virginia	9	4,915	484	369	286	123	100	996	318	2,239
Washington	17	17,886	1,072	165	553	346	4,620	1,697	9,413	20
West Virginia	3	978	69	64	0	416	36	218	8	167
Wisconsin	12	15,199	1,698	656	226	536	12	3,144	2,221	6,706
Wyoming	2	880	40	12	0	717	23	1	0	87



## Appendix

**Table 4. Animals Used in Experimentation With Pain - No Drugs (FY 1990)**

	Number of registrants	Number of all animals	Dogs	Cats	Primates	Guinea pigs	Hamsters	Rabbits	Farm animals	Other
<b>Total United States</b>	<b>137</b>	<b>89,624</b>	<b>1,274</b>	<b>222</b>	<b>1,335</b>	<b>37,982</b>	<b>28,058</b>	<b>16,571</b>	<b>892</b>	<b>3,290</b>
<b>Total Research</b>	<b>116</b>	<b>81,523</b>	<b>848</b>	<b>149</b>	<b>829</b>	<b>35,248</b>	<b>26,329</b>	<b>15,073</b>	<b>806</b>	<b>2,241</b>
<b>Total Federal Agencies</b>	<b>21</b>	<b>8,101</b>	<b>426</b>	<b>73</b>	<b>506</b>	<b>2,734</b>	<b>1,729</b>	<b>1,498</b>	<b>86</b>	<b>1,049</b>
Alabama	0	0	0	0	0	0	0	0	0	0
Alaska	0	0	0	0	0	0	0	0	0	0
Arizona	0	0	0	0	0	0	0	0	0	0
Arkansas	1	35	0	0	0	35	0	0	0	0
California	10	6,258	52	1	0	4,330	160	1,062	0	653
Colorado	1	1,696	0	0	0	583	0	1,113	0	0
Connecticut	3	1,321	102	0	2	197	3	312	0	705
Delaware	3	1,968	1	0	0	1,748	0	219	0	0
District of Columbia	0	0	0	0	0	0	0	0	0	0
Florida	0	0	0	0	0	0	0	0	0	0
Georgia	1	4,061	0	106	0	0	3,949	6	0	0
Hawaii	1	298	0	0	0	0	0	298	0	0
Idaho	0	0	0	0	0	0	0	0	0	0
Illinois	5	2,480	55	0	16	1,787	0	295	327	0
Indiana	2	3,505	0	0	0	2,822	0	683	0	0
Iowa	2	4,497	110	0	0	0	4,387	0	0	0
Kansas	5	25,040	0	0	0	8,772	14,603	1,617	48	0
Kentucky	0	0	0	0	0	0	0	0	0	0
Louisiana	1	516	0	0	516	0	0	0	0	0
Maine	0	0	0	0	0	0	0	0	0	0
Maryland	2	410	0	0	0	135	0	34	241	0
Massachusetts	2	102	0	0	0	30	0	72	0	0
Michigan	5	821	0	0	25	685	0	111	0	0
Minnesota	1	1,151	0	0	0	875	26	250	0	0
Mississippi	0	0	0	0	0	0	0	0	0	0
Missouri	4	359	4	0	0	133	0	8	0	214
Montana	0	0	0	0	0	0	0	0	0	0
Nebraska	1	8	8	0	0	0	0	0	0	0
Nevada	0	0	0	0	0	0	0	0	0	0
New Hampshire	0	0	0	0	0	0	0	0	0	0
New Jersey	17	5,280	220	0	68	1,269	1,215	2,508	0	0
New Mexico	0	0	0	0	0	0	0	0	0	0
New York	11	2,166	125	0	2	476	102	1,307	0	154
North Carolina	3	2,032	2	9	4	0	1,298	719	0	0
North Dakota	0	0	0	0	0	0	0	0	0	0
Ohio	7	2,433	46	0	121	1,621	5	530	110	0
Oklahoma	0	0	0	0	0	0	0	0	0	0
Oregon	0	0	0	0	0	0	0	0	0	0
Pennsylvania	10	4,075	0	31	11	2,299	0	1,624	80	30
Puerto Rico	0	0	0	0	0	0	0	0	0	0
Rhode Island	0	0	0	0	0	0	0	0	0	0
South Carolina	0	0	0	0	0	0	0	0	0	0
South Dakota	0	0	0	0	0	0	0	0	0	0
Tennessee	2	1,292	14	0	0	0	0	1,278	0	0
Texas	6	1,449	7	0	17	277	493	640	0	15
Utah	0	0	0	0	0	0	0	0	0	0
Vermont	0	0	0	0	0	0	0	0	0	0
Virgin Islands	0	0	0	0	0	0	0	0	0	0
Virginia	2	469	99	0	44	207	0	3	0	116
Washington	4	6,988	3	0	3	6,894	88	0	0	0
Wisconsin	3	800	0	2	0	73	0	384	0	341
Wyoming	1	13	0	0	0	0	0	0	0	13

## Appendix

**Table 5. Animals Used in Experimentation, No Pain - No Drugs (FY 1990)**

	Number of registrants	Number of all animals	Dogs	Cats	Primates	Guinea pigs	Hamsters	Rabbits	Farm animals	Other
<b>Total United States</b>	<b>902</b>	<b>920,330</b>	<b>37,518</b>	<b>11,818</b>	<b>31,601</b>	<b>197,352</b>	<b>190,471</b>	<b>231,155</b>	<b>25,660</b>	<b>194,755</b>
<b>Total Research</b>	<b>803</b>	<b>857,881</b>	<b>36,802</b>	<b>11,455</b>	<b>28,544</b>	<b>183,810</b>	<b>180,309</b>	<b>219,645</b>	<b>15,904</b>	<b>181,412</b>
<b>Total Federal Agencies</b>	<b>99</b>	<b>62,449</b>	<b>716</b>	<b>363</b>	<b>3,057</b>	<b>13,542</b>	<b>10,162</b>	<b>11,510</b>	<b>9,756</b>	<b>13,343</b>
Alabama	9	4,759	531	53	386	1,328	684	984	248	545
Alaska	1	728	0	0	0	10	0	14	0	704
Arizona	3	1,155	0	0	74	0	962	38	0	81
Arkansas	7	561	223	51	10	40	3	37	13	184
California	98	63,765	543	1,023	613	15,155	5,992	34,336	2,697	3,406
Colorado	13	15,041	422	236	31	586	11,540	1,384	0	842
Connecticut	14	13,210	187	135	40	1,555	7,549	2,626	0	1,118
Delaware	4	34,250	431	6	91	14,631	15,423	1,997	44	1,627
District of Columbia	4	1,490	1	0	0	37	852	304	63	233
Florida	16	14,103	2,117	426	354	2,190	1,004	7,052	21	939
Georgia	11	6,859	676	155	615	1,115	2,302	360	2	1,634
Hawaii	1	1,414	0	0	0	110	1,140	80	0	84
Idaho	1	37	0	0	0	0	0	37	0	0
Illinois	36	33,984	2,243	460	368	9,575	9,132	9,718	1,246	1,242
Indiana	10	11,387	1,136	51	156	5,757	1,407	2,581	24	275
Iowa	11	30,475	465	716	9	3,955	20,641	4,137	0	552
Kansas	18	12,835	1,006	436	0	1,162	5,998	2,304	12	1,917
Kentucky	4	1,354	143	48	0	64	108	859	128	4
Louisiana	9	11,103	467	842	8,698	210	212	387	23	264
Maine	13	1,335	2	0	0	40	0	646	473	174
Maryland	20	12,563	40	170	136	1,283	1,782	5,460	1,725	1,967
Massachusetts	57	47,382	527	11	600	5,529	10,182	26,509	549	3,475
Michigan	26	18,383	1,940	207	699	5,865	923	7,052	201	1,496
Minnesota	13	14,947	1,015	151	13	3,964	6,111	3,004	30	659
Mississippi	2	350	15	40	0	19	142	20	90	24
Missouri	27	28,102	2,248	1,352	50	1,932	9,900	4,786	2	7,832
Montana	3	1,076	0	0	15	352	67	315	0	327
Nebraska	4	24,642	866	401	0	2,550	19,125	1,362	0	338
Nevada	1	900	0	486	0	130	197	0	0	87
New Hampshire	2	673	0	75	0	41	47	236	254	20
New Jersey	39	74,859	4,863	9	1,404	28,439	8,866	27,019	198	4,061
New Mexico	4	1,456	337	0	706	0	197	19	0	197
New York	58	62,733	2,651	810	606	27,703	13,983	9,915	1,808	5,257
North Carolina	18	23,037	1,942	1,005	1,926	4,585	6,005	3,725	1,392	2,457
North Dakota	2	3,021	18	0	0	65	1,116	220	0	1,602
Ohio	34	39,283	2,358	305	754	16,987	2,266	14,788	155	1,670
Oklahoma	9	1,561	109	20	124	336	292	360	0	320
Oregon	10	1,870	40	64	615	330	17	176	285	343
Pennsylvania	62	40,387	2,382	493	650	10,311	3,544	18,732	760	3,515
Puerto Rico	6	1,419	0	0	785	57	0	495	0	82
Rhode Island	6	203	0	11	43	0	30	89	0	30
South Carolina	4	7,710	321	207	14	290	240	352	259	6,027
South Dakota	3	193	29	12	6	13	120	13	0	0
Tennessee	10	3,303	444	50	280	532	783	1,079	2	133
Texas	48	29,055	1,374	348	4,061	4,198	2,114	11,454	530	4,976
Utah	5	7,486	29	7	0	2,330	981	2,749	43	1,347
Vermont	3	89	0	0	0	2	77	10	0	0
Virgin Islands	0	0	0	0	0	0	0	0	0	0
Virginia	13	6,447	1,294	128	436	1,236	1,463	1,594	44	252
Washington	13	120,412	221	150	957	604	1,083	1,887	168	115,342
West Virginia	3	353	0	0	0	30	195	41	0	87
Wisconsin	12	23,514	1,131	291	2,219	6,575	3,258	6,261	2,415	1,364
Wyoming	3	627	15	14	0	2	254	42	0	300











